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PROGRAMME QUESTIONS: EVALUATION

Final report on the in-depth evaluation of peace-keeping operations: start-up phase

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services entitled "Final report on the in-depth evaluation of peace-keeping operations: start-up phase", dated 17 March 1995. The report has been reviewed by the relevant departments and offices.

* E/AC.51/1995/1.

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ANNEX

[17 March 1995]

In-depth evaluation of peace-keeping operations: start-up phase

Report of the Office of Internal Oversight Services

The present report complements the progress report on the in-depth evaluation of the start-up phase of peace-keeping operations (E/AC.51/1994/3 and Corr.1), and reviews the status of the recommendations made in the progress report concerning the capacity of the United Nations to learn from its experience with peace-keeping operations, and its ready capacity to act for six substantive components of complex missions: information, electoral, repatriation, human rights, civilian police and military. In addition, the present report reviews overall direction and coordination and the humanitarian and civil administration aspects of peace-keeping operations, as well as six support functions: planning, financing, staffing, logistics, procurement and training. Recommendations are made on these areas and functions.

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I. INTRODUCTION

1. The Committee for Programme and Coordination (CPC), at its thirty-third session, recommended to the General Assembly, inter alia, that the start-up phase of peace-keeping operations be subjected to in-depth evaluation, and that the final report be presented to the Committee in 1995. 1/ A progress report on the subject (E/AC.51/1994/3 and Corr.1) was submitted to the Committee in 1994. The General Assembly, in its resolution 49/37 of 9 December 1994, took note of the progress report and expressed its belief that a continuing process of in-depth evaluation of various phases and aspects of peace-keeping operations is important to the deliberations on improving the capacity of the United Nations for peace-keeping. This is the final report on the start-up phase of peace-keeping operations. A report on the termination phase is due for submission to CPC in 1996.

2. The progress report focused on prerequisites of learning from experience with United Nations peace-keeping operations, and on the status of a ready capacity to act for six substantive components of complex missions: information, electoral, repatriation, human rights, civilian police and military. The present report, in conformity with the decision of CPC at its thirty-fourth session, 2/ examines overall direction and coordination, the humanitarian and civil administration aspects of peace-keeping, and six support functions: planning, financing, staffing, logistics, procurement and training, in addition to reviewing progress made in the implementation of recommendations made in the progress report on the status of a ready capacity to act for substantive components.

3. The present report is based on published United Nations documentation, including reports of the General Assembly, the Special Committee on Peace-keeping Operations, the Advisory Committee on Administrative and Budgetary Questions (ACABQ), the Joint Inspection Unit (JIU) and the Board of External Auditors, as well as relevant internal documents, including audit reports, and structured interviews with United Nations staff members involved in the start-up of peace-keeping and humanitarian operations. External studies by national Governments and individuals were also reviewed.

4. The progress report was completed prior to the establishment of the Office of Internal Oversight Services. As a result of new emphases instituted by that Office, considerable attention is devoted in the present report to a review of compliance with previous recommendations.

5. One aspect of the difficulties with compliance concerns resource allocations. The progress report noted in paragraph 7 that in a few cases the recommendations contained in the report had programme budget implications, and that this was in conformity with the expectations of the General Assembly which in paragraph 6 of its resolution 48/42 of 10 December 1993, had stressed the need for the United Nations to be given the resources commensurate with its growing responsibilities in the area of peace-keeping, particularly with regard to the resources needed for the start-up phase of such operations. CPC considered the progress report at its 2nd to 5th meetings, on 16 and 17 May 1994. Since the Committee was informed that parts of recommendations 1

to 24 in the progress report had possible programme budget implications and since no statement on programme budget implications had been provided to the Committee, CPC could only endorse recommendation 25 concerning the methodology and content of the present final report, even though it had had a thorough discussion of recommendations 1 to 24 and was in a position to take decisions on them. The Committee took note of recommendations 1 to 24 and agreed that the Assembly would have to review the recommendations in the light of possible statements of programme budget implications during the forty-ninth session of the Assembly. 3/ No statement of programme budget implications of the recommendations of the progress report was submitted to the Assembly at its regular forty-ninth session, and consequently no recommendations of the progress report were reviewed by the Assembly as requested by CPC. Several of the recommendations in the present report have programme budget implications.

6. In the areas of logistics and procurement, two expert groups have recently reviewed the situation and made detailed and comprehensive technical recommendations. In the areas of financing and staffing, there have been recent reports of the Secretary-General, and a JIU report on staffing, submitted to the General Assembly and examined in detail by ACABQ as well as by the relevant committees and subsidiary bodies of the Assembly. The present report reviews these developments, and makes only a few recommendations in these areas since it appeared to the evaluation team that Member States were already seized with appropriate proposals, and would have further analysis and proposals as a response to section IX of General Assembly resolution 49/233 of 23 December 1994, which requests the Secretary-General to entrust the Office of Internal Oversight Services to undertake, without prejudice to its programme of work, an inspection of the units within the Secretariat responsible for logistical, operational and administrative arrangements in peace-keeping and other field operations, with a view to identifying problems and recommending measures to enhance the efficient utilization of resources, and to report thereon to the General Assembly at its resumed forty-ninth session.

II. FINDINGS AND RECOMMENDATIONS

A. Status of ready capacity to act for substantive components of complex missions

1. Overall direction and coordination

7. The major tasks of overall direction and coordination of peace-keeping operations within the Secretariat, as they relate to readiness to start new operations effectively, are:

(a) The formulation of broad principles and guidelines for peace-keeping operations and the facilitation of intergovernmental discussion and agreement on such principles;

(b) The facilitation of agreement, during the negotiation phase, on preparations for a prospective mission;

(c) Ensuring that the United Nations learns the lessons of prior experience with peace-keeping operations;

(d) The coordination of separate developments concerning a ready capacity to act in each substantive component and support function;

(e) The clear allocation of responsibility for all activities necessary to support the start-up of a new operation.

(a) General considerations

8. Responsibility centres. The Secretary-General has overall responsibility for providing direction to peace-keeping based on mandates defined for such operations by the Security Council and, in some exceptional circumstances, by the General Assembly. In the context of the restructuring of the Secretariat, a Department of Peace-keeping Operations was established in February 1992 in order to strengthen the capacity of the Secretariat in the area of peace-keeping and to enhance its planning and managerial capability. 4/ The Department is headed by an Under-Secretary-General. Within the Department, the Office of Operations consists of four divisions (Europe and Latin America, Asia and Middle East, Africa, and Electoral Assistance). The Office of Planning and Support, which consists of a Planning Division and a Field Administration and Logistics Division, has assigned to it most of the functions with which the present report is concerned, namely those required for the Department to serve as a centre of institutional memory and to develop and maintain a ready capacity to act for future peace-keeping operations. A report containing a description of the functions of executive direction, command and control for peace-keeping operations and the division of labour between the Departments of Political Affairs, Humanitarian Affairs and Peace-keeping Operations has recently been issued. 5/

9. Apart from the Department of Peace-keeping Operations itself, the main departments dealing with peace-keeping operations are the Department of Political Affairs, the Department of Humanitarian Affairs, the Department of Administration and Management, the Office of Legal Affairs and the Department of Public Information.

10. The Secretary-General's Task Force on United Nations Operations is attended by special advisers from the Office of the Secretary-General, the Administrator of UNDP and the heads of the Departments of Peace-keeping Operations, Political Affairs, Humanitarian Affairs and Administration and Management and the Office of Legal Affairs. It is chaired by the Under-Secretary-General for Political Affairs on behalf of the Secretary-General. The Task Force deals with policy issues that pertain to particular operations. Interdepartmental working groups have been established to address urgent issues of major peace-keeping operations. The Department of Peace-keeping Operations chairs most of the groups; the Department of Political Affairs chairs those which deal with peacemaking. A system of designated lead departments has been established: the Department of Peace-keeping Operations is responsible for the military, civilian police and electoral components of complex missions; and the Department of Humanitarian Affairs is responsible for humanitarian, emergency and rehabilitation questions and for coordination with the Centre for Human Rights

and Office of the United Nations High Commissioner for Refugees (UNHCR). The groups analyse and assess available information and provide combined recommendations to the Task Force concerning subsequent action. This provides a framework for an integrated approach to complex emergencies and the planning and execution of a peace-keeping mission. Previous arrangements, as of mid-1993, were reviewed in a JIU study. 6/

11. In the field, and in the missions themselves, organizational structures differ from one operation to another, depending on mandate, size and functions. Responsibility for direction and coordination among the substantive and support components rests with the chief of mission. The military component is under the responsibility of the force commander or chief military adviser. Many studies have indicated difficulties with command and control structures. 7/ Experience of working arrangements with forces not under direct United Nations command has shown both the value of this approach and the difficulties inherent in it. 8/

12. Doctrine. There are no provisions in the Charter of the United Nations for peace-keeping operations as such; the legal basis for such operations is the mandate of each separate mission. The Security Council has, by its actions, established a broad body of doctrine. On 3 May 1994, the President of the Security Council stated on behalf of the Council that, in responding to situations on a case-by-case basis, and without prejudice to its ability to respond rapidly and flexibly as circumstances require, the Council considered that the following factors, among others, should be taken into account when the establishment of new peace-keeping operations was under consideration:

(a) Whether a situation exists the continuation of which is likely to endanger or constitute a threat to international peace and security;

(b) Whether regional or subregional organizations and arrangements exist and are ready and able to assist in resolving the situation;

(c) Whether a cease-fire exists and whether the parties have committed themselves to a peace process intended to reach a political settlement;

(d) Whether a clear political goal exists and whether it can be reflected in the mandate;

(e) Whether a precise mandate for a United Nations operation can be formulated;

(f) Whether the safety and security of United Nations personnel can be reasonably ensured, including in particular whether reasonable guarantees can be obtained from the principal parties or factions regarding the safety and security of United Nations personnel. 9/

These factors were recalled in a statement 10/ of 22 February 1995 in which the President of the Security Council, on behalf of the Council, reiterated the principles of consent of the parties, impartiality and the non-use of force except in self-defence.

13. The Special Committee on Peace-keeping Operations has drawn lessons from recent experience concerning the definition and implementation of mandates, consultation and coordination mechanisms and command and control. 11/ Based on the report of the Special Committee, 12/ the Assembly, in its resolution 49/37, stressed the importance, taking into account the principles that have guided peace-keeping operations and the increasingly complex nature of those operations, of the elaboration of a set of principles and guidelines.

14. The Secretary-General has recently stated that three particularly important principles of peace-keeping are the consent of the parties, impartiality and the non-use of force except in self-defence. He added that analysis of recent successes and failures showed that in all the successes those principles were respected and in most of the less successful operations one or other of them was not. 13/

2. Preparations during the negotiation phase

15. The finding of the progress report that it is important that as much preparatory work as possible commence before the formal mandate of a mission is adopted (see E/AC.51/1994/3, para. 82) is still relevant. The Secretariat has begun to hold informal meetings with potential troop contributors during the phase preceding the actual establishment of a peace-keeping operation. 14/ The recommended study of the political issues involved in preparatory activity prior to the adoption of a mandate for a peace-keeping mission is being undertaken by the Department of Peace-keeping Operations in cooperation with the Departments of Political Affairs, Public Information and Humanitarian Affairs and other concerned departments and agencies, but has not been completed.

3. Learning from experience

16. As the findings and recommendations of the progress report make clear, the United Nations did not have in place, as of the end of 1993, proper arrangements for institutional memory or policies, which require the necessary assessments to learn from recent experience in peace-keeping. Recommendations 1 and 3 to 5 proposed detailed remedies for this problematic situation, and dealt with end-of-mission assessments; exit interviews, debriefings and mid-mission assessments; a peace-keeping documentation centre; and archives and oral histories.

17. The structure and standardization of end-of-mission assessments is still being formulated in the Department of Peace-keeping Operations; a time-limit within which such assessments should be completed has not yet been established. As peace-keeping operations are completed, the relevant missions are requested to submit a final report of the various components covering all major aspects including assessments. A "lessons learned" mechanism is being tested within the Department, which includes submission of periodic "lessons learned" reports by the military component and a comprehensive final report on completion of the mission. A policy to request from Member States end-of-mission assessments of military contingents is part of the "lessons learned" mechanism to be implemented. Requests for such assessments are being addressed only to Member

States at the moment. However, it is intended to request other entities which have significantly participated in the mission to submit assessment reports. A policy on exit interviews, debriefings and mid-mission assessments is under formulation. The centre of responsibility for this would be the Mission Planning Service. The central filing unit in the Department fulfils the function of a peace-keeping documentation centre at present. Efforts are being made to define a more comprehensive information management system with the resources necessary for fully integrated and accessible documentation retrieval.

18. Significant progress has been made in the implementation of recommendation 5 of the progress report. Extensive records have been received by the Archives and Records Management Section of the Office of Conference and Support Services from liquidating missions, including the United Nations Transitional Authority in Cambodia (UNTAC) and the United Nations Observer Mission in South Africa (UNOMSA). There is some concern that greater emphasis has been placed on the transfer of financial and other administrative records rather than substantive records, including those of political and military components. An instruction has been drafted to be sent to missions confirming the ownership of records, including those of political and military officers, by the United Nations and requiring their preservation and transfer to the United Nations. A mission records retention schedule has been prepared as the first step in the mission records management plan. Training in records management was included for the first time in the training programme for vital support personnel for peace-keeping missions: General Services, held in October 1994.

> Recommendation 1, Responsibility for learning from experience in peace-keeping: The Department of Peace-keeping Operations should adopt policies on end-of-mission assessments, exit interviews, debriefings, mid-mission assessments and mission records, and establish a documentation centre, as proposed in recommendations 1, 3 and 4 of the progress report, and seek the additional resources needed to implement them. The Dag Hammarskjöld Library should implement those aspects of recommendations 4 and 5 of the progress report under its responsibility. The Archives and Records Management Section should continue to develop those aspects of recommendation 5 under its responsibility.

4. Allocation of responsibility for support functions

19. The drastic increase in peace-keeping activities over the last few years has had ramifications for all aspects of the work of the United Nations. The Secretariat is still in the throes of organizational adjustments as a result of these developments and the division of responsibilities between the Departments of Peace-keeping Operations, Administration and Management and Public Information and other departments and offices is only now becoming clarified. To some extent, this difficulty of where to locate and how to administer support functions for field operations is not a new but merely an exacerbated problem. Activities relating to field operations support have been relocated five times to different offices of the Organization over the past 20 years. During the first phase of the recent restructuring of the Secretariat, the Field Operations Division was transferred from the Office of General Services to the Office of the Under-Secretary-General for Administration and Management effective

1 January 1993. Following further reviews and discussions, the Field Operations Division was transferred out of the Office of the Under-Secretary-General for Administration and Management to the Department of Peace-keeping Operations on 1 September 1993. Aspects of modalities of operation are still under review. A report of the Secretary-General on modalities of operation of the Field Administration and Logistics Division, based on a review by the Office of Internal Oversight Services, is due for submission to the resumed forty-ninth session of the General Assembly in response to section IX of resolution 49/233. Budgeting for peace-keeping has also posed organizational problems. As a result of the adoption of General Assembly resolution 48/227 of 23 December 1993, the Secretary-General requested the Department of Peace-keeping Operations and the Department of Administration and Management to propose a new distribution of functions which would result in a clear allocation of responsibilities between the two departments in relation to budgetary issues, personnel matters and planning and logistics. After consultations between the offices concerned, their responsibilities have been defined. Similar agreements were reached in 1994 on personnel management. By mid-1995 it can be expected that the current set of organizational adjustments within the Secretariat concerning the support requirements of peace-keeping will have settled down. At that point, some consolidated official statement of the allocation of functions and responsibilities would be feasible and needed. ACABQ has stated that it intends to review the allocation of responsibilities and coordination between the Department of Peace-keeping Operations and the Department of Administration and Management in both the budgeting and staffing processes. 15/

Recommendation 2, Allocation of responsibilities for support functions for peace-keeping: By the end of 1995, revised Secretary-General's bulletins for all affected units in the Department of Administration and Management and the Department of Peace-keeping Operations should be issued showing the support functions for peace-keeping assigned to these units. In the bulletins for these two departments, all administrative responsibilities listed in annex II to the progress report should be explicitly assigned for each support function.

5. Development and maintenance of a ready capacity to act

20. The efficient conduct of peace-keeping operations, particularly in the start-up phase, requires the United Nations to maintain a general state of preparedness. This involves, for each substantive component of complex missions and for all support functions, clear assignment of responsibility and division of labour, as well as the development and maintenance of:

(a) Institutional memory, and procedures for assessment of experience;

(b) Doctrine;

(c) Standard operating procedures;

(d) Operationality, including stand-by arrangements.

Reviews of progress made in establishing stand-by arrangements were presented to the General Assembly at its forty-eighth and forty-ninth sessions 16/ and reviewed by ACABQ. 17/

21. Responsibility for developing and maintaining a ready capacity to act for each separate substantive component and support function is discussed in the relevant sections below. The responsibility for coordinating these developments, and seeing to it that they are compatible and adhere to similar standards, is a crucial task in itself.

> Recommendation 3, Responsibility for the coordination of a ready capacity to act for peace-keeping operations: Such responsibility has been assigned, within the Department of Peace-keeping Operations, to the Assistant Secretary-General for Planning and Support. This responsibility should extend to the coordination of readiness activities related to peace-keeping under the responsibility of departments and offices outside the Department of Peace-keeping Operations. The concept of stand-by arrangements should, to the extent possible, govern the development and maintenance of operational aspects of a ready capacity to act for all substantive components and support functions.

B. Status of a ready capacity to act for substantive components reviewed in the progress report

22. The listing of components of complex missions for the purposes of reviewing the Secretariat's ready capacity to act does not imply that all of these components will be present in all missions. The functions of each mission are those and only those defined by its mandate. The United Nations, however, must maintain, for each of the components listed, a capacity for rapid deployment in the start-up phase should this be required by the mandate of a particular mission.

1. Information component

23. The progress report distinguished three sets of functions for the information component: (a) spokesperson of the peace-keeping mission; (b) the information component of the mission itself in the field; and (c) information on peace-keeping operations disseminated from Headquarters. Functions (a) and (b) are under the responsibility of the chief of mission, who selects his senior personnel for this component in consultation with the Department of Peace-keeping Operations and the Department of Public Information. However, responsibility at Headquarters for the general development of doctrine, standard operating procedures and operationality for these two functions had not been assigned to any unit or person at the time the progress report was drafted. Each mission has operated with ad hoc central support, provided partly by the Department of Peace-keeping Operations and partly by the Department of Public Information. The third set of functions is undertaken by the Department of Public Information. Recommendations were made in the progress report on the establishment of a responsibility centre and on the development of doctrine and standard operating procedures for the information component, as well as on

mission-related media outreach and a roster of and training programme for potential spokespersons. These recommendations of the progress report have not been implemented. Since the unit called for has not been established, the mission-related media outreach is at the moment conducted in an ad hoc manner by the Department of Public Information and the Department of Peace-keeping Operations, as well as in field missions requiring the adoption of such programmes. The Department of Public Information has an informal roster of staff members capable of assuming the responsibilities of spokesperson for peace-keeping missions. The development of standard operating procedures for the information component did not advance during 1994. In related intergovernmental action, the General Assembly, in paragraph 44 of its resolution 49/37 stressed the need for the United Nations to adopt a more proactive approach to public information policy for peace-keeping operations and the importance of training in that context. On 22 February 1995, the President of the Security Council, on behalf of the Council, stated:

> "The Security Council strongly supports the Secretary-General's conclusion that peace-keeping operations need an effective information capacity, and his intention to address this requirement in future peace-keeping operations from the planning stage." 10/
>
> Recommendation 4, The information component of peace-keeping missions: A unit should be established in the Department of Peace-keeping Operations with responsibility for the support of the information components of peace-keeping missions in the field, as proposed in recommendation 6 of the progress report. The Department of Peace-keeping Operations and the Department of Public Information should, by the end of 1995, agree on a division of responsibilities related to all activities proposed in recommendations 7 to 10 of the progress report and should have begun implementation of those activities.

24. In commenting on a draft of the present report, the Department of Public Information stated that the establishment within the Department of Peace-keeping Operations of a unit to be responsible for the information component for peace-keeping would be an unnecessary duplication of the functions inherent within the mandate and competence of the Department of Public Information. The Department felt that, should such a proposal be implemented, the established directive of the Secretary-General and the General Assembly that a duplication of activities must at all costs be avoided, would be seriously undermined and rendered almost invalid. The Office of Internal Oversight Services does not agree with this view and considers the division of labour proposed in the progress report to remain valid.

2. Electoral component

25. Recommendation 11 of the progress report, which proposes the designation of the Electoral Assistance Division as the responsibility centre for the electoral component of peace-keeping missions, has been implemented. The progress report found that doctrine, standard operating procedures and operationality were adequate, or in process in a satisfactory manner, for this component.

3. Repatriation component

26. The progress report found that UNHCR was an adequate responsibility centre for the repatriation component, and that adequate doctrine, standard operating procedures and operationality existed for this component.

4. Human rights component

27. The progress report found that no adequate responsibility centre, doctrine, standard operating procedures or operationality existed for this component, and recommended that the Centre for Human Rights should be designated the responsibility centre for these matters.

28. Recommendation 12 of the progress report, on the human rights component, has not been implemented.

> Recommendation 5, Human rights component: The Centre for Human Rights should be designated the responsibility centre for the human rights component of peace-keeping missions and should begin implementation of the associated functions, as proposed in recommendation 12 of the progress report.

5. Civilian police component

29. The progress report found that an adequate responsibility centre, and adequate doctrine, standard operating procedures and operationality did not yet exist for this component, and made recommendations on these issues as well as on police experts in survey missions, policy on civilian police monitors, stand-by arrangements for civilian police and repatriation of unqualified civilian police monitors. The General Assembly, in paragraph 36 of its resolution 49/37, requested the Secretary-General to strengthen further the civilian police function and noted in this connection the views expressed in the progress report.

30. A proposal for additional resources for the Civilian Police Unit is before the advisory and legislative bodies. Guidelines for civilian police on United Nations assignment for each mission do exist. In addition, a draft peace-keeping training curriculum has been developed and sent to the Permanent Missions. Guidelines for civilian-police-contributing countries have been drafted. Pledges for civilian police on a stand-by basis have been made by 12 Member States. Despite difficulties in getting civilian police from Member States, some unqualified police have been repatriated. None of the seven recent survey missions reviewed by ACABQ 18/ had a police expert as proposed in recommendation 15 of the progress report.

> Recommendation 6, Civilian police component: The Department of Peace-keeping Operations should continue implementation of recommendations 13 to 18 of the progress report.

6. Military component

31. The progress report found that an adequate responsibility centre and adequate standard operating procedures exist for this component, but that doctrine and operationality (in terms of stand-by arrangements) were not yet adequate. Recommendations were made on doctrine, stand-by forces, guideline standard operating procedures, and the peace-keeping information exchange envisaged in paragraph 53 of General Assembly resolution 48/42 of 10 December 1993.

32. Strategic level peace-keeping guidelines are being formulated by the Department of Peace-keeping Operations. Manuals and guidelines for the military component at the operational and tactical levels exist, and are reviewed and refined in the light of experience. The Mission Planning Service, in conjunction with other departments, evolves a "concept of operations" for each mission and also lays down its role and tasks. Generic guidelines for troop-contributing countries have been developed by the Mission Planning Service and "specific to mission" guidelines are prepared prior to the establishment of each mission. The guidelines are exhaustive and regularly updated. Generic guideline standard operating procedures for routine and administrative activities are under preparation, for use by a mission after suitable modification. The exchange of information on peace-keeping envisaged in paragraph 53 of General Assembly resolution 48/42 has not yet been implemented, though regular informal contact is established with troop contributors to share information and experience. The exchange of information could be arranged both at United Nations Headquarters and through Department of Peace-keeping Operations regional seminars. In a report to the Security Council dated 30 June 1994, the Secretary-General reviewed the status of stand-by arrangements and concluded that the commitments made so far do not yet cover adequately the spectrum of resources required to mount and execute future peace-keeping operations and that deficiencies still exist in the areas of communications, multi-role logistics, health services, supply, engineers and transport. 19/ The Council noted this view of the Secretary-General and looked forward to a further and more comprehensive report on the progress of the stand-by arrangements initiative. 20/

> Recommendation 7, Military component: The Department of Peace-keeping Operations should continue implementation of recommendations 19 to 22 of the progress report.

> Recommendation 8, Planning for stand-by arrangements: The comprehensive report on stand-by arrangements requested by the Security Council should be drafted in conjunction with the plan for rapid reaction capacity proposed in recommendation 14 below. Requirements for stand-by capacity should be consistent with the objectives and strategy of this plan.

C. Humanitarian and civil administration aspects of peace-keeping operations

1. Responsibility centres

33. The Department of Humanitarian Affairs coordinates humanitarian assistance in complex emergencies undertaken as part of United Nations peace-keeping operations. These complex operations are coordinated in the field by the special representative of the Secretary-General and at Headquarters by a task force chaired by the Secretary-General. The task force includes the Under-Secretaries-General of the Departments of Political Affairs, Peace-keeping Operations and Humanitarian Affairs and the Office of Legal Affairs.

34. United Nations humanitarian assistance is provided through the operational agencies of the United Nations system in cooperation with international non-governmental organizations. The General Assembly, in paragraph 38 of the annex to its resolution 46/182 of 19 December 1991, established the Inter-Agency Standing Committee as a means of inter-agency cooperation in humanitarian operations. In this regard, the Committee oversees humanitarian plans and programmes in ongoing complex emergencies. In its resolution 48/57 of 14 December 1993, the Assembly requested the Committee to agree, as a matter of urgency, on the best means and guidelines to ensure adequate humanitarian and financial resources for rapid response coordination. In a report to the Assembly, the Secretary-General informed the Assembly of the Inter-Agency Standing Committee's guidelines for rapid response coordination. The guidelines include procedures for the designation/appointment of humanitarian coordinators and the strengthening of the resident coordinator function. The Committee has agreed that, upon the occurrence of complex emergency situations, the Emergency Relief Coordinator will, on behalf of the Secretary-General, undertake consultations with members of the Committee to decide upon the designation of the humanitarian coordinator. Should the resident coordinator not have the right profile, a replacement will be identified. In instances where one operational agency of the system is providing the overwhelming majority of assistance, the Emergency Relief Coordinator would consider designating that agency's representative as humanitarian coordinator. 21/

2. Doctrine

35. The Security Council has, over the last few years, mandated United Nations peace-keeping operations to engage in or support activities such as the following:

(a) Creation of a secure environment for the delivery and provision of humanitarian assistance; 22/

(b) Maintenance of humanitarian access; 23/

(c) Use of all necessary means to achieve the humanitarian objectives of peace-keeping operations; 24/

(d) Action in the face of documented, large-scale incidence of genocide, and prosecution of those committing acts of genocide; 25/

(e) Monitoring of compliance with human rights norms and supervision of elections as part of internally negotiated political agreement to end internal civil and political strife; 26/

(f) Establishment of safe areas and deterrence of attacks against them; 27/

(g) Protection and promotion of human rights. 28/

3. Early warning

36. In his report 29/ on the implementation of the recommendations contained in "An Agenda for Peace", 30/ the Secretary-General stated his intention to develop and present a plan for an early warning mechanism. In part II of its resolution 47/120 of 18 December 1992, the General Assembly supported the recommendation of the Secretary-General to establish an early warning function. Subsequently, in January 1995, in his supplement to "An Agenda for Peace", 31/ the Secretary-General noted the multifunctional nature of United Nations operations in the field involving not only military arrangements but also a wide range of civilian matters. In the context of preventive diplomacy and peacemaking he noted that he had created a Department of Political Affairs, which was organized to follow political developments world wide, so that it could provide early warning of impending conflicts and analyse possibilities for preventive action by the United Nations.

37. In July 1993, the Department of Humanitarian Affairs received extrabudgetary funds to start a two-year project on a Humanitarian Early Warning System (HEWS). The project funds cover the costs of three Professional staff and one General Service staff member as well as equipment. The System will compile information from the United Nations agencies and their field offices, Member States, non-governmental organizations and the mass media for the purpose of identifying potential crises with humanitarian implications. To date, a prototype based on time-series data from five countries has been completed. Another 50 countries of concern will be added by April 1995. In addition, a news service (NewsEdge) and Oxford Analytica and other databases are on line. The System, when completed, will generate (a) weekly general reports, outlining the situation in all countries at some level of concern; (b) early warning signals to monitor and identify situations that warrant higher level of concern; (c) follow-up reports that incorporate new information from field offices as well as changes in system indicators; (d) country profiles consisting of a full set of indicator information including present assessment and trends, and detailed maps which can be used for mission and programme planning, as well as presentations and briefings. These outputs of the System are intended to fulfil the decision-support functions of the System, both towards prevention and preparedness and within the context of the relief to development continuum. The findings of the System will be summarized and distributed every other month in the form of the "HEWS bulletin".

38. The outputs of the Department of Humanitarian Affairs early warning system will be shared with the Department of Political Affairs and the Department of Peace-keeping Operations, both of which are also involved in situation assessment through exchange of information and consultations. The three departments, together with the Executive Office of the Secretary-General, will pursue, at the working-group level, further development of the databases and other details of the early warning system.

39. In 1993, the Department of Political Affairs convened an interdepartmental working group, which proposed the establishment of departmental focal points for early warning and measures for the rationalization of information management in the Departments of Political Affairs, Humanitarian Affairs and Peace-keeping Operations. The report of the interdepartmental working group noted that an effective early warning mechanism requires not necessarily additional information but rather better information management and a combination of skills to recognize early indicators of impending tensions, anticipate the likely course of events and make political judgements about the consequences of recommending a course of action. In further work since April 1994, the Departments of Humanitarian Affairs, Peace-keeping Operations and Political Affairs have developed a flow chart of actions for the coordination of their respective activities in planning and implementing complex operations in the field. This mechanism provides for following the development of a situation from the initial stage of routine monitoring, through early warning, assessment of policy options for preventive action where possible, fact-finding missions, proposals for action and planning and deployment of field operations as may be necessary, to a lessons-learned seminar by the Department of Peace-keeping Operations at the end of the operation. In this mechanism, early warning signals from a wide variety of sources are to be brought together at joint consultations of appropriate desk officers and early warning focal points (where appointed) from the three departments, as well as other departments and agencies, to evaluate trends, formulate possible preventive measures and establish an interdepartmental group to focus further efforts and put forward proposals for action for the consideration of the Secretary-General's Task Force on Operations. This mechanism, known as the "Framework for coordination" is now in the early stages of implementation, and is the means by which the Secretariat is carrying out the Secretary-General's views on early warning and improved coordination within the Secretariat, as set out in January 1995 in paragraphs 56 and 91 respectively of his supplement to "An Agenda for Peace".

40. After reviewing these developments, the evaluation team observed that (a) the technical approaches to early warning varied a great deal, from the formal Humanitarian Early Warning System in the Department of Humanitarian Affairs to the much less formal approach in the Department of Peace-keeping Operations; and (b) no person or unit was assigned responsibility for leadership of the overall development of the process, which was to be governed by the interaction of the Departments of Political Affairs, Humanitarian Affairs and Peace-keeping Operations.

> Recommendation 9, Review of United Nations early warning activities: The interdepartmental "Framework for coordination" should be reviewed periodically to see the extent to which it is (a) bringing together as one coherent system all relevant early warning activities of the United

Nations; (b) liaising with and sharing information and analytical techniques and experience with all those engaged in work related to early warning in the specialized agencies and relevant competent bodies outside the United Nations; and (c) evaluating developments and bringing to the attention of the Secretary-General those situations which may require preventive action and his good offices. The review should, inter alia, make recommendations on whether or not an expert panel is needed to advise the Secretary-General on technical aspects of the mechanism and on whether a person needs to be designated and a unit established responsible for leadership in the development of the early warning mechanism.

Recommendation 10, Early warning focal point in the Executive Office of the Secretary-General: A focal point should be established in the Executive Office of the Secretary-General to ensure its full participation in the development and functioning of the early warning mechanism.

4. Mobilization of international emergency response

41. The modalities of international responses to emergency situations have been slowly evolving. 32/ The principal start-up measures comprise early warning, preparation of inter-agency consolidated appeals, the coordination of emergency assistance, and the inclusion from the planning stage of measures and activities to ensure early transition from relief to development. The Department of Humanitarian Affairs coordinates the preparation of consolidated inter-agency appeals seeking financial resources for United Nations humanitarian agency programmes. These appeals are usually for a specific country. 33/ Donors disburse funds directly to the United Nations agency executing the humanitarian programme. The Department provides a financial tracking service to compile United Nations system-wide financial information for funds pledged against appeals. International non-governmental organizations may also use the consolidated appeal mechanism to inform donors of their programmes.

42. In high-risk emergency situations, donors are increasingly channelling humanitarian assistance through non-governmental organizations. 34/ At present, there are needs to be improvement in tracking the activities of these organizations with respect to the humanitarian objectives and overall aims of a United Nations operation.

43. The Department of Humanitarian Affairs, in an assessment of the coordination of humanitarian operations in Rwanda, makes the following pertinent observations: the longer-term impact of the delivery of an overwhelming proportion of humanitarian assistance through external non-governmental organizations needs to be better understood; information gathering, analysis and dissemination, without which there can be no coordination, is crucially important; and, given the extraordinary amounts of money that the international community has devoted to Rwanda, the importance of accountability and learning from this experience is self-evident.

Recommendation 11, Comprehensive tracking of performance of humanitarian assistance: The United Nations Emergency Relief Coordinator should be the focal point for providing information concerning both United Nations system and non-governmental organization activities. It should produce, and disseminate to all interested parties, periodic analytical and factual assessments highlighting in particular gaps that need urgent attention and activities needed to fulfil the humanitarian strategy.

5. Coordination of humanitarian assistance

44. The effectiveness of humanitarian operations in the field depends on inter-agency cooperation and the neutrality and impartiality of United Nations action in conflict situations. It also requires coordination of relief and development activities. The challenge is to translate inter-agency coordination at the headquarters of agencies into practical guidelines and standard operating procedures in the field, and incorporate these guidelines in the management of complex humanitarian operations.

45. Experience with the more difficult missions has produced conflicting assessments of the appropriate strategies, norms and principles among the political, military and humanitarian components of peace-keeping missions. 35/ The United Nations Inter-Agency Standing Committee, in a paper entitled "Protection of humanitarian mandates in conflict situations", concluded that:

(a) The three political, military or humanitarian functions can be carried out in integrated and unified operations, provided that there are clearly established modalities of cooperation, including information sharing, transparency, joint planning and logistics;

(b) Cooperation between the various components engaged in complex emergencies should be enhanced at United Nations Headquarters and at the operational level. Agreed conclusions of senior-level task forces convened by the Secretary-General should be shared with all concerned;

(c) Humanitarian relief should be provided on the basis of the principles of neutrality, impartiality and humanity.

46. Under existing arrangements, the coordination of the humanitarian aspects of peace-keeping operations is assigned to the Emergency Relief Coordinator and to the heads of missions in the field. The number of international non-governmental organizations engaged in the delivery of relief supplies in complex emergencies has significantly expanded. Often, many international non-governmental organizations are already operating in the field before a peace-keeping operation is launched. The challenge is to incorporate the capacities and programmes of those organizations into a comprehensive humanitarian response in a complex emergency. The assessment by the Department of Humanitarian Affairs of the coordination of humanitarian assistance in Rwanda referred to above has many pertinent observations on this issue, including that the Department must tighten its managerial and institutional grip on the coordination of complex emergencies; that coordination in the Rwandan scene has

been mainly by consensus; and the Department's credibility would be well-served by a limited dose of coordination by command.

Recommendation 12. Guidelines for emergency situations: The Emergency Relief Coordinator should issue guidelines for specific emergency situations that establish an operational framework and indicate priorities and strategies for relief and rehabilitation. The guidelines, priorities and strategies would constitute the operational framework of United Nations activities and a standard against which subsequent assessments of performance can be made. This should normally be done in the context of a consolidated inter-agency appeal. The Emergency Relief Coordinator should also ensure that an appropriate allocation of responsibilities for United Nations agencies and non-governmental organizations be accomplished in each complex emergency.

6. Civil administration

47. Civil administration is not usually an explicit component specified in the mandate of a peace-keeping operation. The existence of some form of civil administration is none the less a crucial factor in the conduct of United Nations operations. The mandate of the United Nations Transition Assistance Group (UNTAG), for example, did not include operational responsibility for civil administration, but UNTAG did have oversight responsibility for aspects of civil administration which had an impact on the electoral process. The Cambodia peace plan consisted of a final act and three instruments. To ensure implementation of the accords, "all powers necessary" were delegated by the Supreme National Council of Cambodia to the United Nations for a transitional period lasting from the signing of the agreements through the creation of a new Government following the elections. The civil administration component of the United Nations Transitional Authority in Cambodia (UNTAC) was charged with supervision or control of existing administrative infrastructure. This feature of the UNTAC mandate was deemed essential to establishing a neutral political environment conducive to fair and free elections. However, according to an internal assessment, effective supervision of the administrative structure was hampered by language problems, lack of implementation measures and inadequate experience on the part of UNTAC personnel with the bureaucratic structures and procedures of the State of Cambodia. In Somalia, the United Nations had to operate in a country without administrative systems. Consequently, the provision of humanitarian assistance had to rely to a large extent on non-governmental organizations whose activities were not readily amenable to coordination, and which had adapted their operations to the conditions prior to the start of the United Nations operation. 34/ In many respects, the challenges to the United Nations operation in Angola were similar to those in Somalia. The civil and physical infrastructure of Angola was greatly damaged in two decades of civil war. But the logistics provided through the United Nations Angola Verification Mission (UNAVEM II) and a UNDP technical assistance project greatly offset some of the deficiencies in infrastructure. In Mozambique, the inclusion of provisions for humanitarian activities, such as de-mining and repatriation of refugees, as well as assistance to internally displaced persons, as part of the transitional peace process, helped to establish a minimum level of civil infrastructure and to improve the security environment.

D. Status of a ready capacity to act for support functions

1. Planning

48. Responsibility centre. The Office of Planning and Support in the Department of Peace-keeping Operations is headed by an Assistant Secretary-General and has two main components: the Planning Division and the Field Administration and Logistics Division. The Planning Division consists of a Mission Planning Service, a Civilian Police Unit, a De-mining Unit and a Training Unit. The Mission Planning Service is responsible for the preparation of guidelines and procedures according to which the integrated planning for future missions is to be conducted. It also prepares comprehensive operational plans for new peace-keeping operations, encompassing timetables, troop contributions, civilian police, personnel and logistics, and revises and modifies plans for current operations as required. Responsibilities for the elaboration of stand-by arrangements with Governments for the supply of troops, personnel, equipment, financial resources and other services are also assigned to the Mission Planning Service.

49. Doctrine. There is, as yet, no doctrine on the planning of United Nations peace-keeping operations. The following planning elements have been mentioned in recent General Assembly resolutions on peace-keeping:

A realistic mandate, including clear objectives and a time-frame (resolution 48/42, para. 24.);

Involvement in the planning process at the earliest possible time of special representatives and force commanders (resolutions 48/42, para. 33, and 49/37, para. 35);

Concluding arrangements between United Nations and troop contributors before deployment occurs (resolution 48/42, para. 39);

Proper training of members of contingents (resolution 48/42, para. 40);

Stand-by arrangements: the development by Member States, to the extent that their domestic arrangements permit, in cooperation with the Secretariat, of arrangements for military, police and civilian personnel to participate in peace-keeping operations and notification of the Secretary-General of the existence and the modalities of such arrangements on an ongoing basis (resolutions 48/42, para. 4, and 49/37, para. 28);

Enhanced arrangements for consultations and exchange of information with troop-contributing countries (resolution 49/37, para. 9).

On 22 February 1995, the President of the Security Council, on behalf of the Council, stated:

> "The Security Council shares the Secretary-General's concern regarding the availability of troops and equipment for peace-keeping operations. It recalls earlier statements by the President of the Council on the subject and reiterates the importance of improving the capacity of the United

Nations for rapid deployment and reinforcement of operations. To that end, it encourages the Secretary-General to continue his study of options aimed at improving the capacity for such rapid deployment and reinforcement. The Council believes that the first priority in improving the capacity for rapid deployment should be the further enhancement of the existing stand-by arrangements, covering the full spectrum of resources, including arrangements for lift and headquarters capabilities, required to mount and execute peace-keeping operations. It strongly encourages the Secretary-General to take further steps in this regard, including the establishment of a comprehensive database to cover civilian as well as military resources. In this context, it considers that particular attention should be given to the greatest possible inter-operability between elements identified in such arrangements." 10/

50. Standard operating procedures. The Planning Division has begun the development of a standardized approach to the management of peace-keeping missions. In a Department of Peace-keeping Operations internal document drafted in 1994 the start-up phase is divided into:

(a) Initiation phase;

(b) Mission-planning phase:

(i) Mandate development: mission analysis; technical survey; concept of operations; integration of humanitarian functions; and mission mandate proposals by the Secretary-General;

(ii) Budget formulation: financial implications; request for working capital/advance funding; full budget estimate; and General Assembly budget approval;

(iii) Operations planning: force structure; operational taskings; functional requirements planning; and guidelines to troop contributors.

There appears to the evaluation team to be considerable merit in the approach taken in an earlier attempt, dated 18 March 1993, to think systematically about mission planning using a "critical path" analysis.

51. A survey mission handbook 36/ is being developed by the Department of Peace-keeping Operations to provide a comprehensive guide for the initial stages of organizing a peace-keeping operation. ACABQ was informed that the handbook was expected to be completed and circulated to Member States no later than the end of 1996. ACABQ requested this to be expedited. 18/

52. The standardization of estimated financial implications for a proposed course of action prior to the full development of the operational plan of the mission is a prerequisite to proper mission planning. The General Assembly was informed at its forty-eighth session that a standardized framework for such projections is being designed. 37/ This framework has not yet been completed.

53. Operationality. The Secretary-General set out the following objectives for a rapid reaction capacity to the General Assembly at its forty-eighth session:

> "The Organization should be ready to field small missions within 48 hours of legislative authorization; start-up times to achieve operational self-sufficiency in general should be no more than 10 days to a month for a small mission (e.g. up to 500 personnel), 2 to 3 months for a medium-sized mission (e.g. up to 5,000 personnel) and 4 to 5 months for a large mission (e.g. above 5,000 personnel)." 38/

In the same document, the Secretary-General made a number of related proposals: the Organization should have a surge capacity in civilian administrative and technical staff, with adequate arrangements to engage contractual labour; reserve stocks of basic equipment in start-up kits should be maintained for immediate shipment; contingency contracting arrangements are required for immediate availability of pre-specified off-the-shelf equipment or supplies; and arrangements should be in place to effect the shipment of personnel and supplies to a mission area. These and related capacities are being developed in the Field Administration and Logistics Division, and have not as yet been integrated into the planning framework being developed by the Planning Division. 39/

54. More recently, the Secretary-General has proposed serious consideration should be given to establishing a United Nations rapid reaction force. 40/

> Recommendation 13, Planning guidelines: Peace-keeping planning guidelines should be elaborated and issued by the Secretariat. In addition to elements derived from Security Council and General Assembly resolutions, the planning guidelines should include general objectives for the development of specified stand-by arrangements and, by a given date, a rapid reaction capacity within the Secretariat.
>
> Recommendation 14, Plan for rapid reaction capacity: The general objectives in the planning guidelines should be the basis of a Department of Peace-keeping Operations strategic plan aimed at developing a rapid reaction capacity, including related capacities for substantive components, within the Secretariat. This plan should be linked to stand-by arrangements as proposed in recommendation 8 above.
>
> Recommendation 15, Standard planning method for the start-up phase: Standard planning procedures for the start-up phase should incorporate the results of a critical-path analysis of the processes involved.

2. Financing

55. Responsibility centres. Once a peace-keeping operation is close to authorization, a survey mission gathers information which the Finance Management and Support Service of the Field Administration and Logistics Division uses to prepare budget estimates. The Peace-keeping Financing Division in the Office of Programme Planning, Budget and Accounts has the responsibility for preparing and submitting the Secretary-General's budgets for peace-keeping operations to the General Assembly. These budgets are prepared by the Peace-keeping Finance

Division based on resource requirements submitted by the Field Administration and Logistics Division. When the budget of a peace-keeping operation is approved, the Contributions Section sends out assessment letters to Member States, requesting amounts determined according to the formulas applicable to peace-keeping operations.

56. Doctrine. The underlying doctrine is that, in line with the provisions of Article 17 of the Charter, expenses for peace-keeping operations are considered to be expenses of the Organization and as such to be borne by the Members as apportioned by the General Assembly, and the additional principle, set forth in General Assembly resolution 3101 (XXVIII) of 11 December 1973, that the economically more developed countries are in a position to make relatively larger contributions and that the economically less developed countries have a relatively limited capacity to contribute towards peace-keeping operations involving heavy expenditures. That resolution also referred to the special responsibilities of the States permanent members of the Security Council in the financing of such operations. A scale of assessments based on these principles is adjusted and adopted periodically by the General Assembly.

57. Standard operation procedures. In line with the United Nations Financial Regulations and Rules, expenses may be incurred as authorized in a budget approved by the General Assembly or, in advance of such approval, under the authority of financial rule 110.6. The Financial Planning Section of the Department of Peace-keeping Operations works in close collaboration with the following organizational units in order to compile the information to be included in the budget submission for missions: the political and military units of the Department of Peace-keeping Operations, the Personnel Management and Support Service and the Logistics and Communications Service in the Field Administration and Logistics Division, and, if available, the special representative of the Secretary-General and chief administrative officer designated for the mission and the Peace-keeping Financing Division. The Peace-keeping Financing Division reviews the resource requirements put forward for missions and is responsible for the content, justification and costing of budget requirements. A review of the final draft by the Department of Peace-keeping Operations, prior to its presentation to ACABQ and the General Assembly, is conducted to ensure that the political and financial statements are accurate.

58. In order to facilitate the process of financing the start-up of peace-keeping operations, the General Assembly, by its resolution 47/217 of 23 December 1992, established a Peace-keeping Reserve Fund, effective 1 January 1993, as a cash flow mechanism to assist in the rapid response of the Organization to the needs of peace-keeping operations. However, the pattern of collection of peace-keeping assessments indicates that many Member States do not make systematic payments to each peace-keeping operation. As a result, cash requirements for a number of the ongoing peace-keeping operations have had to be met by borrowing from the resources available in the Reserve Fund. This has resulted in the inability of the Fund to be used to provide basic start-up costs for newly established peace-keeping operations. 41/ The Secretary-General proposed in March 1994 that the level of the Reserve Fund be increased to $800 million. 42/ Subsequently, in section XI of its resolution 49/233, the General Assembly decided to maintain the Reserve Fund at its present level at the present stage.

59. Apart from the United Nations Finance Manual, a technical survey mission handbook is being developed as a comprehensive guide for the initial stages of organizing peace-keeping operations. This handbook will establish detailed standards and practices to guide United Nations officials and implementing partners prior to, during and following dispatch to the area of operation. A mission planning manual containing guidelines for the establishment and determination of a field mission is also being developed. A standard cost manual has been developed.

60. Currently, the preparation of detailed cost estimates for peace-keeping missions is based on requirements enumerated in detail, line-by-line from a variety of sources. These requirements are frequently defined through lengthy discussions between requirement proposers and budget analyzers. The rapidly changing situation of the peace-keeping environment often renders these submissions outdated by the time they are reviewed by Member States. The Secretariat is endeavouring to develop a more standardized and analytical approach to peace-keeping budgeting, involving the introduction of three components:

(a) Standard cost parameters;

(b) A relational database containing financial and management information and ratios based on previous missions;

(c) A standardized framework representing policies and procedures relating to peace-keeping management.

Since January 1994, the standard cost manual, containing technical specifications and standard cost factors/rates for different types of equipment and supplies employed in peace-keeping operations, has been in use for preparing budget submissions. The experience gained during 1994 is being used to further expand this manual to include standard job descriptions as well as to clarify standards for specific military and civilian costs. It is intended to update the standard cost manual once every 12 months. The relational database, containing historical statistics and ratio analysis, which would define standard interrelationships between staffing, vehicles, accommodation, communications equipment and other equipment which may be the subject of standardization, has not yet been developed. The standardized framework has not yet been developed either.

61. Operationality. There are many problems of financing peace-keeping operations, including:

(a) Delays in payment of assessed contributions and consequent delays in reimbursement of States contributing to the operations;

(b) The time gap between the start of a mission and the approval of cost estimates;

(c) Inadequate management and control systems.

Proposals by the Secretary-General concerning financing issues are contained in documents A/48/945 and A/49/557. Proposals are made on such issues as financial authority, mission budget formulation, performance reporting, budget format, the peace-keeping budget cycle and commitment authority. ACABQ examined these proposals and issued, in late 1994, an extensive report on them and related matters, including cash flow problems and the situation with respect to the Peace-keeping Reserve Fund and the Working Capital Fund. 43/ Financial problems affecting the start-up phase were addressed in General Assembly resolution 49/233.

Recommendation 16, Analytical system for budgeting peace-keeping operations: The prototype of the analytical peace-keeping budgeting system described in paragraph 60 should be developed and tested by the end of 1995 under the responsibility of the Office of Programme Planning, Budget and Accounts with the assistance of the Department of Peace-keeping Operations.

3. Staffing

62. Responsibility centres. The Recruitment and Placement Division of the Office of Human Resources Management has the responsibility for mobilizing the human resources needed to staff the various peace-keeping operations, from among staff members working in the United Nations system and from external sources.

63. Within the Department of Peace-keeping Operations, the Personnel Management and Support Service has the overall mission of anticipating and identifying the civilian personnel requirements of field missions and of ensuring that these requirements are met. As from January 1995, a delegation of responsibility from the Recruitment and Placement Division to the Personnel Management and Support Service took effect. The Assistant Secretary-General for Conference and Support Services has been designated by the Secretary-General as United Nations Security Coordinator and a focal point headed by a Senior Security Coordinator has been established in the Office to look after detailed arrangements for the security of mission personnel.

64. Doctrine. Member States make civilian and military personnel available on a secondment basis or free of charge to staff peace-keeping missions upon specific request by the United Nations. The fundamental principle provided for in paragraph 3 of Article 101 of the Charter regarding staff applies to peace-keeping operations, namely that the paramount consideration in the employment of the staff and in the determination of the conditions of service shall be the necessity of securing the highest standards of efficiency, competence and integrity, with due regard to be paid to the importance of recruiting the staff on as wide a geographical basis as possible.

65. Standard operating procedures. The United Nations relies on the Member States to provide military personnel and civilian police for peace-keeping operations. Most of the civilian personnel of peace-keeping operations come from the United Nations, with the remainder being provided by Member States, non-governmental organizations and volunteer organizations. The Personnel Management and Support Service compiles plans which determine civilian structures and personnel requirements for field missions. These include overall

requirements and recruitment and deployment plans and schedules. For the assignment of staff members of the United Nations system to peace-keeping operations, staff members are invited to indicate their interest by filling out a form, the particulars from which are used to prepare and maintain a roster. A joint panel consisting of staff members from the Recruitment and Placement Division and the Personnel Management and Support Service meets regularly and makes use of the roster to assess the degree of suitability and the extent of availability of staff. When a selection is made, negotiation is conducted with the releasing department or office. As regards military and civilian personnel to be provided by Member States, guidelines are provided by the Department of Peace-keeping Operations to the contributing countries. In addition, United Nations Volunteers (UNVs) are often used.

66. The Personnel Management and Support Service maintains records of procedures employed in previous missions for reference in planning and staffing new missions. The personnel manual and draft field administration handbook set out applicable personnel policy.

67. Operationality. An external assessment of UNTAC found that military and civilian police forces were deployed behind schedule, partly because the recruitment process was time-consuming and involved numerous steps. It was felt that the voluntary system did not guarantee a consistently high quality of peace-keepers and it was found that some of the military, police and civilian peace-keepers obtained for UNTAC were unqualified.

68. There are delays in securing the services of United Nations staff members for peace-keeping assignments because release dates must be negotiated with the departments/offices concerned, which need to secure the services of temporary replacements. An internal Department of Peace-keeping Operations assessment of staffing problems found that personnel have been selected for mission assignment in great haste, independent of a standardized selection criteria, and sometimes without a thorough evaluation of the performance of those who have served on previous missions. This means that, in some instances, very good performances have been overlooked, whereas some with less impressive performances have been selected for additional assignments. Ultimately, the quality of the pool of suitably qualified candidates available for mission assignment must be improved, and only the best individuals must be selected.

69. A JIU study entitled "Staffing of the United Nations peace-keeping and related missions (civilian component)" 44/ made recommendations on rosters, more extensive use of UNVs and local staff, secondment, external recruitment of professionals, contractual arrangements and recruitment policies and procedures. The Secretary-General responded to these recommendations in detail. 45/ CPC at its thirty-fourth session expressed agreement with the diagnosis in the JIU report and noted that the report had been commented on favourably by the Secretary-General and some of its recommendations had already been implemented. 46/ The report was reviewed by the Fifth and Special Political and Decolonization Committees of the General Assembly.

70. The Secretary-General in his report to the forty-eighth session of the General Assembly on effective planning, budgeting and administration of peace-keeping operations provided an extensive presentation of personnel issues. 47/

The topics covered included rosters, recruitment, seconded personnel, international contractual personnel and security of personnel. ACABQ reviewed these matters in detail in late 1994. 48/

71. The Security Coordinator's Office considers that the security of personnel must be an integral part of the planning of any peace-keeping operation and that this has not always been the case. The Security Coordinator also believes that training of all civilian personnel in different aspects of security is critical to ensuring their safety and security.

> Recommendation 17, Security of personnel: All peace-keeping technical survey missions should include an expert on security to make recommendations on security requirements. All mission plans and budgets should include provisions for security requirements. All civilian personnel should receive appropriate security-related training.

4. Logistics

72. Responsibility centre. At the central level, the Logistics and Communications Service within the Field Administration and Logistics Division carries out logistical and procurement functions in cooperation with the Purchase and Transport Service of the Office of Conference and Support Services (see paras. 80-88 below). A significant portion of the professional staff of the Logistics and Communications Service are seconded military officers whose services are provided at no cost to the United Nations. In coordination with the Mission Planning Service, the Logistics and Communications Service develops plans for logistical support of field missions, specifying equipment, supplies and services needed. It participates in technical survey teams and determines mission start-up requirements and, on the basis of contingency planning activities, assembles, maintains and arranges the deployment of missions, equipment and supplies to permit a rapid initial deployment of key mission elements. It also determines the need for construction projects, including accommodation facilities, roads and bridges, and renovation and development of military and civilian living and office sites and sanitation facilities in field missions. The Service develops and fields logistical systems to support peace-keeping operations and provides backstopping to field missions on an ongoing basis. At the field level, each operation is responsible for maintaining logistical systems as needed.

73. Doctrine. There is, as yet, no doctrine on logistical aspects of United Nations peace-keeping operations. However, an operations supply manual will contain, inter alia, a statement of logistic doctrine, and is expected to be available for review by Member States in a few months.

74. Standard operating procedures. A field administration manual has been available in draft since September 1992, based on the field administration handbook, which was last updated in the early 1980s. Although the manual is intended as an internal administrative guide for use by field missions, based on the experience and procedures developed from past operations, the draft manual is not up-to-date and does not address start-up functions. The new draft has not been issued as an official document, and is still under review by the

Department of Administration and Management and the Office of Legal Affairs. This consultation process has been ongoing, with various drafts submitted to the relevant departments. There is at present, however, no scheduled date of final completion of the draft, owing to the lack of resources within the Field Administration and Logistics Division to devote exclusively to its preparation. It is anticipated that certain chapters will be revised for incorporation into the current draft later this year.

75. A Logistics Working Group, composed of military and civilian experts, conducted a comprehensive review of logistics and related aspects of peace-keeping operations in late 1993. The report of the Group outlined over 30 recommendations on such matters as logistic planning factors, specification formulation, procurement policy and planning, training and resource management. These recommendations have been taken into consideration by the responsible departments of the Secretariat, and the majority have been acted upon as suggested.

76. An operational support manual is in draft. This manual will provide guidelines and procedures for supply, communications, transportation, maintenance, aviation/air services, general engineering, medical support and postal/courier services. Copies of this manual will be provided to each field mission and to the Member States contributing to the operations when it is completed.

77. Operationality. An external evaluation study 49/ stated in December 1993 that the United Nations lacked a logistics system strong enough to support operations as large as UNTAC. The study stated that the United Nations logistics system for large missions such as UNTAC and UNOSOM was fragmented; for example, in UNTAC both military and civilian components had transportation units, but these were not integrated to ensure that all parts of Cambodia had sufficient transportation services. The study also found that insufficient logistical and administrative staff, and their late deployment in the field, further hampered UNTAC's logistics; 10 months after the mission had started, many of these personnel had still not been deployed.

78. ACABQ reviewed Secretariat proposals on the use of a reserve stock of equipment in the form of mission start-up kits in late 1994, and noted that the proposals had significant financial and administrative implications which had not been brought to the attention of the General Assembly, and that a number of issues remain to be resolved. ACABQ recommended that a detailed report on these matters be submitted to the forty-ninth session of the General Assembly. 50/

79. A decision was taken in 1994 to upgrade the United Nations telecommunication system to provide improved logistical support to peace-keeping operations. The system will consist of a satellite backbone network, with strengthened European hubs servicing both the Atlantic Ocean and the Indian Ocean regions, upgraded headquarters facilities and portable Earth stations. 51/

5. Procurement

80. Responsibility centre. The responsibility for procurement for peace-keeping missions is shared between the Logistics and Communications Service of the Department of Peace-keeping Operations, and the Purchase and Transportation Service of the Department of Administration and Management. The Logistics and Communications Service prepares detailed generic technical and contractual specifications and proposals for the supply of required goods and services and determines the method of supply. The requirements identified are met through commercial procurement action by the Purchase and Transportation Service or through the issuance of letters of assist by the Field Administration and Logistics Division for direct supply by Member States. The Logistics and Communications Service also evaluates bids and proposals, provides technical advice to field missions, conducts product research on commonly requisitioned items and market research for logistics supply services, and prepares specifications for the acquisition of equipment and maintenance of ground and air transport facilities and safety standards. In the Field Missions Procurement Section of the Purchase and Transportation Service, procurement requests are processed and then submitted to the Committee on Contracts for recommendation, and from there to the head of the Office of Conference and Support Services who exercises decision-making authority on procurement matters on behalf of the Secretary-General.

81. Doctrine. Guiding principles for procurement are contained in the United Nations Financial Regulations and Rules. However, these are oriented primarily towards procurement for headquarters activities. There is no separate body of principles governing procurement for field missions.

82. Standard operating procedures. The United Nations procurement manual provides guidelines for procurement activities but has only a limited number of special provisions for field missions. Standard operating procedures exist for the definition of requirements and the preparation of requests for proposals and for invitation of bids on a competitive basis.

83. Operationality. The Field Missions Procurement Section has been under considerable strain in the recent years. An internal study dated March 1994 states that since 1990, Professional staff levels at the Field Missions Procurement Section have remained constant while the total procurement dollar volume has increased 872 per cent, and that the Service can no longer accommodate or service the rapid growth in procurement and contracting activities without a very substantial infusion of staff resources and a change in the organizational structure.

84. The management of procurement at the central level and in the field has been discussed in both external and internal audit reports. The Board of Auditors found problems in, for example, bidding procedures at both Headquarters and in the field. 52/ Internal audits also show weaknesses in the management of procurement operations.

85. Data gathered by the Field Administration and Logistics Division on the distribution of headquarters requisitions for the year 1993 show over 75 per cent were for field mission procurements of $1,000-$70,000. Delegation

of authority to the field could reduce the workload of central procurement to a significant extent, and reduce delays in procurement action.

86. A recent external evaluation study 49/ stated that the operations in Cambodia and Somalia had shown that the United Nations procurement system cannot efficiently handle the volume of supplies and equipment needed by large missions.

87. The Logistics Working Group looked at several aspects of the procurement process and made recommendations on requisition tracking; acquisition planning; field mission requisition; procurement policy; letters of assist; delivery inspection; notification requirements; competitive requests for proposal; public disclosure of requests for proposal; ex post facto contracting; bid discount factors; brokers and airlift; airlift requirements and specifications; proposal requirements under requests for proposal and solicitation evaluation. An internal Field Administration and Logistics Division review dated January 1995 describes most of the recommendations in these areas as "completed".

88. A High-level Expert Procurement Group was convened in 1994 and has issued its report, dated December 1994. The recommendations of the Logistics Working Group on procurement and related questions are to some extent subsumed in the new sets of recommendations made by the High-level Expert Procurement Group. The Expert Group formulated two sets of recommendations: 27 recommendations to be carried out as soon as possible and a further 9 recommendations that will require more complex and lengthier implementation. A consolidation of the recommendations of both groups is being completed in the Department of Administration and Management.

> Recommendation 18, Standard operating procedures for logistics and procurement: The field administration manual, the operational support manual and the procurement manual should be revised to incorporate the consolidated recommendations of the Logistics Working Group and the High-level Expert Procurement Group. These revised manuals should be issued by the end of 1995.
>
> Recommendation 19, Office of Internal Oversight Services review of compliance in logistics and procurement: The Office of Internal Oversight Services reports on compliance with the recommendations of the present report, such as the triennial review to CPC, should include reviews of compliance with each of the consolidated recommendations of the Logistics Working Group and the High-level Expert Procurement Group.

6. Training

89. Member States are responsible for training their national civilian, police and military personnel for participation in peace-keeping missions. Increasingly, however, Member States offer troops without the necessary equipment and training.

90. The Training Unit in the Department of Peace-keeping Operations is responsible for (a) preparing guidelines, manuals and other relevant training

material to assist Member States conduct training in a standardized manner; (b) encouraging States to share information and experience in training; and (c) training for the substantive components of peace-keeping operations, in cooperation with the Training Service of the Office of Human Resources Management and the substantive units concerned. The Personnel Management and Support Service of the Department of Peace-keeping Operations is responsible for mission-specific briefing and orientation training. The Training Service of the Office of Human Resources Management is responsible for general orientation training as well as training geared to the performance of administrative support functions.

91. Working in consultation with the Department of Peace-keeping Operations Training Unit, peace-keeping training activities are also conducted by national or regional peace-keeping training institutions, as well as the Training Centre of the International Labour Organization (ILO), the United Nations Institute for Training and Research (UNITAR), ICRC and UNHCR. Within the Organization, training is provided by the Training Service of the Office of Human Resources Management and the Department of Humanitarian Affairs.

92. Doctrine. The General Assembly, in paragraph 45 of its resolution 48/42, stated that the training of peace-keeping personnel is primarily the responsibility of Member States.

93. Standard operating procedures. The status of materials produced by the Training Unit of the Department of Peace-keeping Operations is given in the table below.

Status of Department of Peace-keeping Operations training activities/materials

	Item	Status as of 31 January 1993
1.	Peace-keeping training manual	Second draft
2.	Peace-keeping curriculum module	First draft
3.	Guidelines for standard operating procedures	Second draft
4.	Tactical manuals	First draft (June 1995)
5.	Handbook for United Nations soldiers and military observers	Second draft
6.	List of United Nations military centres	Completed
7.	Post-conflict training	Policy decision required
8.	Test and language training:	
	- English	Completed
	- French	To be developed

	Item	Status as of 31 January 1993
9.	Training seminar for legal advisers	Completed
10.	Code of conduct for United Nations field personnel	First draft (February 1995)
11.	Coordination, training and research activities:	
	(a) Analysis of regional organizations involved in peace-keeping	Completed
	(b) Peace-keeping bibliography	Completed (updated yearly)
	(c) Feasibility of United Nations staff college	Completed
	(d) Non-lethal weapons	Policy decision required
	(e) Research by the United Nations University	Policy decision required
12.	United Nations peace-keeping doctrine: first draft	First draft (February 1995)
13.	Coordination of peace-keeping documentation	Preliminary stage
14.	Information system	Policy decision required
15.	Training videos and manuals	Completed
16.	Handbook for military observers	First draft (September 1995)
17.	Handbook for civilian police	First draft (August 1995)
18.	United Nations civilian police course curriculum	First draft (completed)
19.	United Nations stress management booklet	First draft (May 1995)
20.	United Nations military observers course curriculum	Second draft (completed)

94. Staff members of the United Nations system likely to undertake assignment to peace-keeping duties are provided with short, intensive pre-mission training and, upon final selection, mission-specific briefing.

95. Operationality. A review of specialized training for military personnel conducted in 77 countries showed that, as at the end of 1993, over 50 per cent

had only minimal or low-level training of troops for peace-keeping. 53/ Specialized training of civilian aspects of peace-keeping is much more limited than for troops; over 85 per cent of the countries surveyed had no such training. 54/

96. By May 1995, the Training Unit of the Department of Peace-keeping Operations will have available a roster of 30 officers available to assist Member States in training.

97. A JIU study found problems in such areas as pre-departure briefings, coordination of peace-keeping training activities, standardization of training programmes, differentiation between various types of jobs and functions, and training of staff in senior positions. 55/

98. The work plan of the Training Service, Office of Human Resources Management, for 1994-1995 provides for training geared to the improvement of management of field operations based on case-studies, simulations and group problem-solving exercises. The programme is for all staff in supervisory positions in missions. The work plan also provides for training for the development of United Nations administrative cadres, the overall objective being to create a cadre of competent staff in finance, personnel, procurement, logistics and other related functions. 56/

99. There is no formal delineation of functions among the many entities sharing training responsibilities. There is as yet no coordinating mechanism to ensure that they operate in a complementary manner.

> Recommendation 20, Training guidelines: Training guidelines should be elaborated and issued by the Secretariat. The guidelines should specify the minimal level of training to be provided for both military and civilian personnel from the Secretariat and from cooperating intergovernmental bodies, non-governmental organizations and other organizations contributing personnel to United Nations peace-keeping operations.
>
> Recommendation 21, Training plan: A peace-keeping training plan, covering a period of two years, updated every year on a rolling basis, should be prepared to give a composite picture of training needs and planned responses to meet those needs by the Secretariat, national Governments and training institutions and non-governmental organizations. This plan should be prepared jointly by the Training Service, Office of Human Resources Management, and the Training Unit, Department of Peace-keeping Operations, and should serve as a basis for integrating the efforts of all the training partners. The peace-keeping training plan should be submitted to the Special Committee on Peace-keeping Operations.

Notes

1/ Official Records of the General Assembly, Forty-eighth Session, Supplement No. 16 (A/48/16, Part one, para. 35).

2/ A/49/16, Part I, para. 25 (a).

3/ Ibid., para. 25 (b).

4/ A/46/882, para. 7.

5/ A/49/681, paras. 11-20.

6/ A/48/421, paras. 10-41 and recommendations I and II. See A/48/421/Add.1, paras. 6-16, for the response of the Secretary-General.

7/ See, for example, A/49/136, paras. 55-58, A/49/681 and A/50/60, paras. 38-42.

8/ See A/49/681, para. 22.

9/ See S/PRST/1994/22.

10/ See S/PRST/1995/9.

11/ See A/49/136, paras. 44-58.

12/ Ibid., para. 49.

13/ A/50/60, para. 33.

14/ See A/49/681, para. 17.

15/ See A/49/664, para. 10 (c).

16/ See A/48/945, para. 45 and A/49/1, paras. 428-432. See also S/1994/777 and S/PRST/1994/36.

17/ A/49/664, paras. 61-63. The JIU recommendations on stand-by arrangements are contained in A/48/421.

18/ See A/49/664, para. 9.

19/ S/1994/777, para. 7.

20/ See S/PRST/1994/36.

21/ See A/49/177/Add.1, paras. 37-41.

22/ See, for example, Security Council resolution 794 (1992) on Somalia.

23/ See, for example, Security Council resolution 775 (1992) on Somalia.

24/ See, for example, Security Council resolutions 794 (1992) on Somalia and 940 (1994) on Haiti.

25/ See, for example, Security Council resolutions 780 (1992) and 936 (1994) on the former Yugoslavia.

26/ See, for example, Security Council resolutions 658 (1990) on Western Sahara and 782 (1992) on Mozambique.

27/ See, for example, Security Council resolutions 819 (1993) and 836 (1993) on Bosnia and Herzegovina.

28/ General Assembly resolutions 47/20 A and B established the framework for the International Civilian Mission in Haiti (MICIVIH).

29/ A/47/965.

30/ A/47/277-S/24111.

31/ A/50/60-S/1995/1.

32/ For an assessment of issues and current problems facing United Nations peace-keeping operations, see A/49/1, paras. 316-327.

33/ The response to appeals and subsequent disbursement of funds for humanitarian assistance have been uneven. In 1994, reported pledges following 16 appeals ranged from 33 per cent or less in 5 of the appeals, between one third and one half in another 5, to more than 50 per cent in the other 6.

34/ For information on the role of non-governmental organizations in the delivery of humanitarian assistance to Somalia, see, for example, Hope Restored? Humanitarian Aid in Somalia, 1990-1994 (Refugee Policy Group, Washington, D.C., November 1994).

35/ For contrasting assessments, see Richard K. Betts, "The delusion of impartial intervention", pp. 20-33, and Tony Smith, "In defense of intervention", pp. 34-46, Foreign Affairs, vol. 73, No. 6.

36/ A/48/945, annex II, provides a detailed outline of the handbook.

37/ See A/48/945, para. 11.

38/ Ibid., para. 4.

39/ Ibid., para. 5.

40/ See A/50/60, para. 44.

41/ A/48/622, para. 12.

42/ See A/48/403, para. 53.

43/ See A/49/664 and Add.1.

44/ A/48/421, annex.

45/ A/48/421/Add.1, annex.

46/ See A/49/16 (Part I), paras. 88-89.

47/ See A/48/945, chap. IV.

48/ See A/49/664, chap. VI.

49/ United Nations Peace-keeping: Lessons Learned in Managing Recent Missions (United States General Accounting Office, Washington, D.C., December 1993).

50/ A/49/664, paras. 91-102.

51/ See A/C.5/48/11/Rev.1 and Corr.1.

52/ See A/49/5 (vol. II), sect. II.

53/ Barry M. Blechman and J. Matthew Vaccaro, Training for Peace-keeping: The United Nations' Role (The Henry L. Stimson Center, report No. 12, July 1994), table A-1. Based in part on information supplied by the United Nations.

54/ Ibid., table A-2.

55/ See A/48/421, sect. III.C.

56/ See A/49/406, paras. 19-20.